

12/06/01
J1131 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(for Noncontinuing, Nonprovisional Applications under 37 C.F.R. §1.53(b))

Attorney Docket No. 7372/72249

Jc971 U.S. PTO
10/004115
12/06/01

Box PATENT APPLICATION)
Commissioner of Patents and)
Trademarks)
ATTENTION: Assistant Commissioner for)
Patents)
Washington, D.C. 20231)

Sir:)

Transmitted herewith for filing under)
37 C.F.R. §1.53(b) is the)
nonprovisional, noncontinuing)
patent application for:)

Title: Process For Producing Optically)
Active 4-Halo-3-)
Hydroxybutanoate)

December 6, 2001

First Named Inventor or Application
Identifier: ASAKO et al.

- ☒ 79 pages of the specification (including claims & Abstract are enclosed.
- ☐ Sequence Listing (pages 1-25) separately listed.
- ☐ _____ sheet(s) of drawings are enclosed. ☐ Formal ☐ Informal
- ☐ An executed Oath or Declaration and Power of Attorney naming the actual inventors is enclosed.
- ☐ The names of persons believed to be the actual inventors are set forth in the enclosed unexecuted Oath or Declaration and Power of Attorney (§1.41(a) and §1.53(b)).
- ☐ Application assigned to Sumitomo Chemical Limited, Co..
- ☐ A check in the amount of \$_____ to cover the fee for recording the assignment is enclosed.
- ☐ A 37 C.F.R. §3.73(b) statement is enclosed where an assignee seeks to take action.

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- ☐ An Information Disclosure Statement is enclosed.
- ☐ A Form PTO-1449 is enclosed.
- ☐ _____ References (copies) listed on the Form PTO-1449 are enclosed.
- ☒ A Return Receipt Postcard is enclosed (MPEP §503).
- ☒ Priority of application number 2000-372704, 7 Dec 2000, 2001-006144, filed 15 Jan 2001, 2001-026594, filed 2 Feb 2001 and 2001-175175, filed 11 June 2001 in Japan are claimed under 35 U.S.C. §119.
- ☐ A certified copy of the priority document is enclosed.
- ☐ A Computer Program Listing Appendix is enclosed.
- ☐ A Transmittal Cover Letter for Computer Program Listing Appendix is enclosed.
- ☐ Two (2) Compact Discs are enclosed.
- ☒ A Nucleotide and/or Amino Acid Sequence Submission is enclosed.
- ☐ A Computer Readable Copy is enclosed.
- ☐ A Paper Copy (Identical to Computer Copy) is enclosed.
- ☐ A Statement Verifying Identity of above Copies is enclosed.
- ☒ The filing fee is calculated below:

Fee Calculation For Claims As Filed


Basic Fee									\$ 740.00
Independent Claims	6	-	3	=	3	x	\$ 84.00	=	\$ 252.00
Total Claims	<u>49</u>	-	<u>20</u>	=	<u>29</u>	x	<u>\$ 18.00</u>	=	<u>\$ 522.00</u>
Fee for Multiply Dependent Claims							\$280.00		
Total Filing Fee									<u>\$ 1,514.00</u>

- ☐ Applicant(s) assert entitlement to Small Entity Status, reducing the Filing Fee by half to: \$ 757.00
- ☐ A check in the amount of \$_____ to cover the filing fee is enclosed.
- ☐ Charge \$_____ to Deposit Account No. 06-1135.

- The payment of the Filing Fee is to be deferred until the Declaration is filed. Do not charge our Deposit Account.
- A separate written request under 37 C.F.R. §1.136(a)(3), which is a general authorization to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. §1.136(a) for its timely submission as incorporating a petition for an extension of time for the appropriate length of time, is enclosed.
- The Commissioner is hereby authorized to charge any additional fees which may be required in this application under 37 C.F.R. §§1.16-1.17 during its entire pendency, or credit any overpayment, to Deposit Account No. 06-1135. Should no proper payment be enclosed herewith, the Commissioner is authorized to charge the unpaid amount to Deposit Account No. 06-1135. This sheet is filed in triplicate.
- Also enclosed: Inventors' Data Sheet
- Address all future communications to Customer Number 22242.



December 6, 2001
Date


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